

Form 210A (10/06)

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings Inc., et al., Debtors,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence, attached hereto, and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

UBS AG, Zurich / Switzerland

Name of Transferee

Name and Address where notices  
to transferee should be sent:

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee  
payments should be sent (if different  
from above):

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

I declare under penalty of perjury that the information provided in this notice is true and correct to  
the best of my knowledge and belief.

By: \_\_\_\_\_

Transferee/Transferee's Agent

Bank Vontobel AG, Zurich / Switzerland

Name of Transferor

Court Claim # (if known): 67373

Date Claim Filed: not known

Amount of Claim: to be determined

Portion of Claim Transferred (see  
Schedule I): \_\_\_\_\_

Phone: +41 58 283 56 50

Last Four Digits of Acct. #: \_\_\_\_\_

Date: December 10, 2020

*Penalty for making a false statement* Fine of up to \$500,000 or imprisonment for up to 5 years, or both 18 U.S.C. §§ 152 & 3571

Bank Vontobel AG  
Gotthardstrasse 43  
CH-8022 Zürich

*T. Scherz* *U. A. [Signature]*

**EVIDENCE OF (PARTIAL) TRANSFER OF CLAIM**

**TO: THE DEBTOR AND THE BANKRUPTCY COURT**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **BANK VONTOBEL AG** ("Transferor") unconditionally and irrevocably transferred to **UBS AG**, ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (**Claim No. 67373**) **SEVERAL** in nominal value related to the security with International Securities Identification Number listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS  
EXECUTED ON October 21, 2010.

Bank Vontobel AG

By: 

Name: Thomas Schwerzmann  
Title: Director

By: 

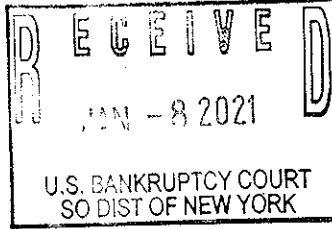
Name: Anja Kaser  
Title: Authorized Officer

**SCHEDULE I**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

ISIN	Court Claim #	Date Claim Filed	Issuer	Units/Amount of Claim related to Security
CH0034783636	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 13,380.64
XS0234972981	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 44,966.18
XS0258396927	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 370,197.71
XS0336037204	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 10,446.30
CH0036891395	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 28,742.55
XS0336633150	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 10,697.54
XS0299386101	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 17,840.85
CH0027120887	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 15,026.63
XS0187966949	67373.15	October 29, 2009	Lehman Brothers Treasury Co. BV	USD 111,333.56
SPLITTING	FROM	TOTAL ALLOW	AMOUNT USD 263,152.06	

# Vontobel



United States Bankruptcy Court  
Southern District of New York  
One Bowling Green  
New York, NY 10004-1408  
United States

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8022 Zurich  
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F +41 58 283 5160  
roger.fivat@vontobel.com

CHE-116.300.767 MWST (VAT)

1/1 Zurich, December 10, 2020

## Evidence of Transfer of Claim

Dear Sir or Madam

Enclosed please find one form "Evidence of Transfer of Claim" with 9 positions with one for splitting.  
Please note, that the mentioned Lehman Products are deposited in our bank.  
Our claim number is: 67373  
If you have any questions, don't hesitate to contact us.

Best regards

**Bank Vontobel AG**

A handwritten signature in dark ink, appearing to read "T. Schwerzmann".

Thomas Schwerzmann  
Director

A handwritten signature in dark ink, appearing to read "Anja Kaser".

Anja Kaser  
Authorized Officer